



# PROCUREMENT REQUEST INITIATION AND ACCEPTANCE OF “Q” PRODUCTS/SERVICES

PROCEDURE ID: YMP-LBNL-QIP-4.3

REV. 1, MOD. 2

EFFECTIVE: 03/22/02

## 1. PURPOSE

This Quality Implementing Procedure (QIP) establishes the Lawrence Berkeley National Laboratory (LBNL) requirements for initiating internal procurement requests for products and services that support scientific investigations on the Yucca Mountain Site Characterization Project (YMP). This procedure describes the necessary communications between LBNL and Bechtel SAIC Company, LLC (BSC) to facilitate BSC in development of Purchase Requisitions (PRs) for “Q” procurements (i.e., those products and services determined to be subject to the U.S. Department of Energy (DOE) Office of Civilian Radioactive Waste Management (OCRWM) *Quality Assurance Requirements and Description* (QARD) DOE/RW-0333P requirements). PRs generated by BSC include or reference the applicable quality assurance (QA), technical, site characterization, or other management requirements that are necessary to ensure adequate quality.

This QIP also establishes measures to ensure that purchased “Q” products and services are accepted in accordance with the PR provided by BSC.

## 2. SCOPE

This procedure applies to the LBNL Requester, the YMP-LBNL Procurement Coordinator (hereafter referred to as Procurement Coordinator), the BSC QA Representative, the Principal Investigator (PI), and the Project Manager (PM) when procuring products or services. YMP-LBNL does not purchase items, as defined by the QARD, as LBNL does not provide design documents (e.g., specifications, drawings, etc., see Section 6.2). As such, this procedure only describes actions required for procuring “Q” or “Non-Q” (i.e., those products/services determined not to be subject to QARD requirements) products or services. This QIP also describes the LBNL actions required for acceptance or rejection of “Q” products/services purchased by BSC.

This procedure does not apply to procurements of “Q” products or services from vendors on the OCRWM Qualified Suppliers List (QSL) or to those procurements on the YMP-LBNL Procurement Exemption List (Attachment 1).

PRs for “Q” procurements are prepared and accepted by BSC in accordance with LP-4.5Q-BSC, *Processing Purchase Requisitions*, and OCRWM AP-7.7Q, *Acceptance of Items and Services*, respectively.

## 3. PROCEDURE

### 3.1 Procurement Request Initiation

- 3.1.1 Procurement of certain products and services will always be considered to be “Non-Q” (e.g., office and administrative supplies, office furniture, business machines, business machine maintenance supplies and services, etc.) as noted on the Exemption List (Attachment 1). The **LBNL Requester** shall review the Exemption List, and if the product/service is on the list, initiate the procurement through any means provided by internal LBNL procurement processes, and submit a copy of the Procurement Requisition to the Procurement Coordinator. The Procurement Coordinator shall retain Procurement Requisitions for three months. No further action is required.
- 3.1.2 If the product/service is not on the Exemption List, the **LBNL Requester** shall initiate the procurement process by documenting the product/service to be procured in Part I of the Procurement Initiation Form (Attachment 2), and determining if the product or service is “Q” or “Non-Q” using the Procurement Classification Screening Guidelines given in Part II of Attachment 2. The LBNL Requester shall make the initial determination and provide justification thereof in Part III of the Procurement Initiation Form, sign and date it, and submit it to the Procurement Coordinator or designee for approval. Once approved, the Procurement Coordinator shall submit the Procurement Initiation Form to the BSC QA Representative for concurrence.

When LBNL procures equipment that will subsequently be calibrated by LBNL in accordance with YMP-LBNL Technical Implementing Procedures (TIPs) or will be calibrated by qualified suppliers on the OCRWM Qualified Suppliers List (QSL), the equipment procurement shall be classified as “Non-Q”.

In cases where immediate procurements are required (e.g., for field work to replace parts that break suddenly during field experiments), completion of the Procurement Initiation Form may be delayed for 30 working days for “Non-Q” products/services; or within 10 working days for “Q” products/services.

In addition, LBNL-made products or products made for LBNL by crafts services in the field shall only require a Procurement Initiation Form for the finished product (upon product completion), not the sub-parts required to assemble the product.

### 3.2 Review of “Q” and “Non-Q” Procurements

- 3.2.1 If in agreement with the classification given to the product or service (i.e., “Q” or “Non-Q”), the **Procurement Coordinator** or designee

and **BSC QA Representative** shall sign/date Part III of the Procurement Initiation Form (Attachment 2). All Procurement Initiation Forms for “Q” procurements shall be submitted to the PM for approval. (“Non-Q” procurements do not require PM approval.)

- 3.2.2 The **PM** or designee shall review the Procurement Initiation Form to ensure that technical requirements, budgetary, and programmatic content are appropriate for the “Q” product or service being requested and if in agreement, sign/date Part III of the Procurement Initiation Form.
- 3.2.3 If there is disagreement among any of the approving/concurring parties as to the “Q” or “Non-Q” status of the product or service, the LBNL Requester shall be notified and resolution determined. Unresolved issues shall be referred to successively higher levels of management within YMP-LBNL and ultimately the PM or designee, and BSC QA management for resolution.

### 3.3 Processing of “Non-Q” and “Q” Procurements

- 3.3.1 Once the Procurement Initiation Form is completed, the **Procurement Coordinator** or designee shall process the procurement of products/services designated as “Non-Q” in accordance with internal standards of the LBNL Procurement Department. The Procurement Initiation Form (Attachment 2) for “Non-Q” procurements shall be submitted to the Records Processing Center (RPC) by the Procurement Coordinator or designee as “Non-Q” inclusionary records. No further actions associated with this procedure are required.
- 3.3.2 For those products or services which are determined to be “Q”, the **Procurement Coordinator** or designee shall coordinate with BSC and the LBNL Requester to supply all pertinent information requested by BSC for the PR.
- 3.3.3 BSC is responsible for preparing the PR in accordance with LP-4.5Q-BSC, ensuring that the procurement process is planned and documented in a systematic manner, and ensuring that all quality, technical, and management requirements have been considered for incorporation into the procurement document. The requirements shall be included relative to the level of importance, complexity, and quantity of the product or service being requested and the supplier’s quality performance. The PR includes information regarding LBNL intentions for acceptance of products or services upon receipt. BSC assures that suppliers of “Q” products or services are listed on the QSL per OCRWM Administrative Procedure (AP)-7.4Q, *Supplier Evaluation and Qualified Supplier List Maintenance*, as applicable.

3.3.4 The **LBNL Requester** shall submit the information requested by BSC to the **Procurement Coordinator** or designee who in turn, shall prepare the necessary correspondence, and submit any requested information to BSC for processing as described in LP-4.5Q-BSC. The Procurement Coordinator or designee will provide the LBNL Requester with copies of all correspondence regarding the “Q” procurement.

### 3.4 Modifications

Changes/modifications/addenda to the Procurement Initiation Form shall be subject to the same degree of control and review as used in the preparation of the original document, except modifications exercising the option to renew a contract for an additional year, or increasing or decreasing funds for “Q” procurements (in which case BSC shall be notified directly thereof).

### 3.5 Acceptance of “Q” Products or Services

Upon receipt of “Q” products or services, the **LBNL Requester** or designee shall perform an inspection when requested by BSC and provide BSC any additional information required for acceptance or rejection of products/services, based on the acceptance criteria described in the PR.

## 4. RECORDS

### 4.1 QA Records

All QA records associated with this procedure shall be submitted to the Procurement Coordinator or designee for transmittal to the RPC in accordance with AP-17.1Q, *Record Source Responsibilities for Inclusionary Records*.

QA records associated with this procedure may be submitted as a records package or as individual records to consist of the approved Procurement Initiation Form for “Q” (or “Non-Q” products or services that require justification), and any other relevant information (e.g., acceptance of product or services documentation).

### 4.2 Non-QA Inclusionary Records

Procurement Initiation Forms for Non-Q procurements

### 4.3 Non-QA Exclusionary Records

Written communications

## 5. RESPONSIBILITIES

- 5.1 The **Project Manager (PM)** or designee is responsible for the oversight of “Q” procurements and associated documentation that directly support the YMP-LBNL, and for the approval of their technical, programmatic, and budgetary content.
- 5.2 The **LBNL Requester** of products or services, typically a Principal Investigator (PI) or designee, is responsible for initiating requests in accordance with this procedure; providing BSC with requested information and reviews; upon receipt of “Q” products or services, providing BSC any requested inspections or acceptance reports; and submitting LBNL procurement records to the Procurement Coordinator for transmittal to the RPC.
- 5.3 The **Procurement Coordinator** or designee is responsible for ensuring that purchases of YMP-LBNL products or services are processed in accordance with the requirements of this procedure, and in cooperation with BSC, provide the necessary procurement information for their processing in accordance with of LP-4.5Q-BSC, and AP-7-7Q, as applicable; for review of the Procurement Initiation Form and approval of the “Q” or “Non-Q” status of the product/service being procured. The Procurement Coordinator is responsible for all informal and formal communications with BSC regarding LBNL procurement needs, and for providing the LBNL Requestor with copies of correspondence relating to “Q” procurements.
- 5.4 The **BSC QA Representative** is responsible for reviewing all YMP-LBNL procurements not on the Exemption List for “Q” or “Non-Q” status and for concurrence thereof.

## 6. ACRONYMS AND DEFINITIONS

### 6.1 Acronyms

AP	OCRWM Administrative Procedure
BSC	Bechtel SAIC Company, LLC
DOE	U.S. Department of Energy
LBNL	Lawrence Berkeley National Laboratory
OCRWM	Office of Civilian Radioactive Waste Management
PR	Purchase Requisition
PI	Principal Investigator
PM	Project Manager
QA	Quality Assurance
QARD	Quality Assurance Requirements and Description
QIP	YMP-LBNL Quality Implementing Procedure
QSL	Qualified Supplier List
RPC	Record Processing Center
TIP	YMP-LBNL Technical Implementing Procedure

YMP	Yucca Mountain Site Characterization Project
WBS	Work Breakdown Structure
WP	Work Package

## 6.2 Definitions

**Approval:** The documented determination by the responsible individual that the procured product/service is suitable for the intended purposes and shall be used as required.

**Item:** An all-inclusive term used in place of any of the following: appurtenance, assembly, component, equipment, material, module, part, structure, subassembly, subsystem, system, or unit that is identified in a design document.

**“Non-Q”:** Within the context of this procedure, a designation given to a product or service when it has been determined that QARD controls are not applicable.

**Purchase Requisition (PR):** A document generated by BSC with input by LBNL, which identifies the quality and technical requirements of “Q” supplies or services.

**Procurement Initiation Form:** A document generated by LBNL that is used to document and approve the “Q” status of a product or service not on the Exemption List (Attachment 2).

**Product:** Something produced by human or mechanical effort or by a natural process.

**“Q”:** Within the context of this procedure, a designation given to a product or service when it has been determined that QARD controls are applicable.

**Service:** The performance of activities such as equipment calibration, design, fabrication, inspection, nondestructive examination, repair, or installation.

**Supplier:** A person or group of persons providing support to YMP-LBNL in “Q” or “Non Q” activities. A supplier may be a person or organization providing support through an agreement or a similar document.

## 7. REFERENCES

- DOE/RW-0333P, *Quality Assurance Requirements and Description*
- AP-17.1Q, *Record Source Responsibilities for Inclusionary Records*
- AP-SI.1Q, *Software Management*
- AP-7.4Q, *Supplier Evaluation and Qualified Supplier List (QSL) Maintenance*
- AP-7.7Q, *Acceptance of Items and Services*
- LP-4.5Q-BSC, *Processing Purchase Requisitions*

## 8. ATTACHMENTS

Attachment 1: YMP-LBNL Procurement Exemption List

Attachment 2: YMP-LBNL Procurement Initiation Form

## 9. REVISION HISTORY

11/15/99 Revision 0, Modification 0:

Initial issue. Describes the necessary interface between LBNL and M&O for procuring items/services as described in QAP-7-3 and QAP-7-5.

12/03/99 Revision 1, Modification 0:

Provides for an Exemption List for procurement of products and services that are always classified as "Non-Q". Allows greater latitude for OQA concurrence to be obtained for procurement of products or services needed immediately in the conduct of fieldwork. All pages of this QIP have been revised.

03/15/02 Revision 1, Modification 1:

Updates responsibilities for procurement activities from M&O to BSC for consistency with OCRWM APs, changes OQA Representative to BSC QA Representative, updated procurement references to include LP-4.5-BSC, AP-7.4Q, and AP-7.7Q and changed Procurment Document to Purchase Requisitions for consistency with LP-4.5-BSC.

03/22/02 Revision 1, Modification 2

Revised procedure to clarify that this procedure does not apply to procurements of "Q" products or services from vendors on OCRWM's QSL.

## 10. APPROVAL

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Preparer: Nancy Aden-Gleason

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Date:

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Technical Reviewer: Yvonne Tsang

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Date:

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Technical Reviewer: Peter Lau

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Date:

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EA Reviewer: Vivi Fissekidou

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Date:

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BSC QA Concurrence: Stephen Harris

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Date:

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Project Manager: Gudmundur Bodvarsson

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Date:

## YMP-LBNL PROCUREMENT EXEMPTION LIST

The following categories of products and services are determined never to require QA controls. These products and services are considered to be “Non-Q”, and shall be procured through internal LBNL procurement processes.

Copies of the Purchase Requisition for these products/services shall be submitted to the Procurement Coordinator.

1. Office/and administrative supplies. This includes all office supplies, office furniture, business machine supplies, business machines, and services (e.g., computers, copiers, calculators, cabinets, typewriters, etc.).
2. Audiovisual equipment, film, and services
3. Employee morale and recreation supplies and services
4. Food and beverage supplies and services
5. Publications and books including periodicals and subscriptions
6. Personnel safety and protection items (e.g., safety glasses, hard hats, safety shoes, eyewash stations, fire extinguishers, etc.)
7. Common construction hand tools, materials, and hardware (e.g., pipes, cables, screws, etc.) which are not required to be calibrated to be used
8. Personnel transportation vehicles, including vehicle maintenance, parts, and servicing
9. Personnel transportation services
10. Material and services for display booths at professional seminars, conventions, and fairs
11. Types of software as follows: Operating systems; administrative and management systems; system utilities and compilers, and their associated libraries; and word processing programs. Industry standard software such as database management software, graphing and visual display software, spreadsheets, and statistical software (e.g., Excel, Corel Quattro Pro, Lab View, etc.) are also exempt. (Any developed applications within these types of industry standard software, however, may require QA controls under AP-SI.1Q, *Software Management*.)
12. Facility maintenance and janitorial supplies and services
13. Training services and seminars
14. Heavy construction equipment and equipment maintenance parts and services
15. Common construction support supplies and services (e.g., lumber, nails, scaffolding, slings, wire rope, chains, banding, bailing wire, etc.)
16. Common equipment parts and services

17. General laboratory supplies (e.g., syringes, rubber gloves, flasks, chemicals that do not require specific assay purity, desiccant, filters, pumps, fans, etc.)
18. Electronic supplies (e.g., fuses, resistors, capacitors, wire, circuit board, solder, cases, extension cords, switches, bulbs, etc.)

## YMP-LBNL PROCUREMENT INITIATION FORM

This form shall be completed by the LBNL Requester if the product or service is not on the Exemption List (Attachment 1). If the purchase involves special requirements other than those listed on this Procurement Initiation Form, additional pages may be attached. When Parts I and II are completed, the LBNL Requester shall sign/date in the "Signature" section of Part III. The Procurement Initiation Form and any other pertinent materials shall then be submitted to the Procurement Coordinator or designee for approval and the BSC QA Representative for concurrence. "Q" procurements only shall additionally be finally approved by the PM or designee.

The LBNL Requester shall circle options, fill in blanks and check boxes as necessary. If a topic does not apply, the LBNL Requester shall indicate by using "N/A."

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### PART I – IDENTIFICATION:

#### A. PRODUCT/SERVICE REQUESTED: \_\_\_\_\_

DATE REQUIRED: \_\_\_\_\_ ACCT. TO BE CHARGED: \_\_\_\_\_

PROJECT: \_\_\_\_\_ WBS NO.: \_\_\_\_\_

REQUESTER'S PHONE NO.: \_\_\_\_\_ WP NO.: \_\_\_\_\_

DELIVER TO: \_\_\_\_\_ SUGGESTED SUPPLIER/VENDOR:  
(If sole source, attach justification)

\_\_\_\_\_  
\_\_\_\_\_

#### B. STATEMENT OF SCOPE OF WORK TO BE PERFORMED BY SUPPLIER Describe the product or service. Include quantities and estimated cost where appropriate.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

#### C. TECHNICAL REQUIREMENTS:

For calibration services requested at the same time as the purchase of equipment, specify any accuracy, tolerances and manufacturer's requirements needed.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PROCUREMENT INITIATION FORM (Continued)****PART II – PROCUREMENT SCREENING GUIDELINE FOR PRODUCTS/SERVICES:**

The following provides direction when deciding whether quality-affecting activities should be procured using a “Q” or “Non-Q” procurement process. A “Q” process means that the procurement is subject to the requirements of the QARD and this QIP, together with AP-7.4Q and AP-7.7Q, as applicable.

1. Does the procurement include a product/service directly related to the collection of site characterization data or samples (e.g., pressure transducers, sensors, etc.) that are not subject to subsequent internal or external calibrations as noted below? ☐ Yes ☐ No

When LBNL procures, assembles, or manufactures equipment that will subsequently be calibrated by LBNL in accordance with YMP-LBNL-TIPs or will be calibrated by qualified suppliers on the QSL, the equipment procurement shall be classified as “Non-Q”. (For example, the calibrations of psychrometers, ion-specific electrodes, spectrometers, and balances are governed by TIPs. When LBNL procures this kind of equipment, it is considered to be “Non-Q.”)

2. Does the procurement include a service for calibration or procurement of a calibration standard for equipment to be used to obtain “Q” data? ☐ Yes ☐ No

These procurements could be for calibration services (by qualified suppliers on the QSL) for equipment already purchased as “Non-Q”, or for calibration standards (e.g., calibrated weight sets).

**If the answer to either of the above questions is YES, process the procurement as “Q.”**

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**PART III – “Q” STATUS DETERMINATION** Upon completion of Part II of this form, as applicable):

☐ Q ☐ Non-Q Justification : \_\_\_\_\_

**SIGNATURES:**

REQUESTOR: \_\_\_\_\_  
 Printed Name (LBNL Requester)/Title Signature Date

APPROVED: \_\_\_\_\_  
 Printed Name (Procurement Coordinator) Signature Date

CONCURRED: \_\_\_\_\_  
 Printed Name (BSC QA Representative)  
 Signature Date

APPROVED (if “Q”): \_\_\_\_\_  
 Printed Name (Project Manager) Signature Date